



OFGS File No.: P/3483-13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

In re Patent Application of

Hongyang Chao, et al.

Date: February 6, 2001

MAY 01 2001

Serial No.: 09/727,242

Group Art Unit: --

OFFICE OF PETITIONS

Filed: November 30, 2000

Examiner: --

For: IMAGE COMPRESSION AND DECOMPRESSION BASED ON AN INTEGER  
WAVELET TRANSFORM USING A LIFTING SCHEME AND A  
CORRECTION METHOD

07/03/2001 LGIBBS 00000013 09727242

01 FC:205 65.00 OP

Hon. Commissioner of Patents and Trademarks

Washington, DC 20231

Attention: Application Branch

Adjustment date: 07/03/2001 LGIBBS  
02/13/2001 AGOITOM 00000019 09727242  
01 FC:122 -130.00 OP

PETITION TO DETERMINE RECEIPT OF ITEMS DEPOSITED  
WITH THE UNITED STATES PATENT AND TRADEMARK OFFICE

Repln. Ref: 07/03/2001 LGIBBS 0013112900  
DAH:150700 Name/Number:09727242  
FC: 704 SIR: \$65.00 CR

Applicants respectfully submit that page 48 of the subject application was submitted with the application as filed on November 30, 2000. Applicants offer the following information as evidence tending to support Applicants' assertion in this regard.

Two identical divisional specifications were filed on the same day, the subject application being the first and the second being Serial No. 09/727,241, both containing exactly the same pages. Enclosed are copies of the Express Mail Receipts, Postcards and transmittal sheets that indicate both divisional applications were filed on the same day and contained the same pages. In addition, these two divisional applications are precise copies of the parent application, Serial No. 09/038,562, as attested in the documents accompanying the transmittal of the instant application and application Serial No. 09/727,241, a copy of which is enclosed. Accordingly, reference should be made to the parent application to show that page 48 is included

in the application, as well as reference to divisional application Serial No. 09/727,241, which includes page 48 also.


Please note that since Example A in the application (which was quite lengthy) preceded page 48 in each of the above-mentioned applications, Applicants feel that page 48 may have been overlooked in the subject application. Applicants respectfully request that the Office of the Initial Patent Examination carefully review all of the submitted pages in the subject application to verify that page 48 is actually missing.

Applicants also believe that since the subject divisional application claims benefit of the parent utility application (09/038,562, filed March 11, 1998) and the provisional application (60/040,241, filed March 11, 1997) each containing the subject matter of page 48, the instant application, including the subject matter on page 48, is entitled to the same filing date as the provisional application.

Applicants believe that the subject application was filed with page 48, as indicated by the evidence accompanying this petition, and the above discussion with regard to related application materials. Applicants therefore respectfully request that page 48 of the instant application be entered in the present application and accorded the filing date of the present application. Applicants further respectfully note that since page 48 is believed to have been included with the present application papers as filed, as indicated above, the petition fee is refundable and Applicants respectfully request that the petition fee submitted herewith be refunded.


I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on February 6, 2001:

Brendan J. Kennedy  
Name of applicant, assignee or  
Registered Representative

  
Signature

February 6, 2001  
Date of Signature

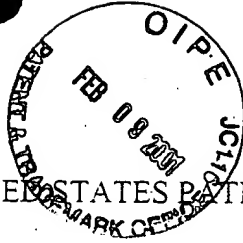
Respectfully submitted,

  
Brendan J. Kennedy  
Registration No.: 41,890  
OSTROLENK, FABER, GERB & SOFFEN  
1180 Avenue of the Americas  
New York, New York 10036-8403  
Telephone: (212) 382-0700

BJK:gl

Attached in Appendix A is a listing of a computer that is related to the present invention.

While specific embodiments of the present invention have been shown and described, it will be  
5 apparent to this skilled in the art that the disclosed invention may be modified in numerous ways and may assume many embodiments other than the preferred form specifically set out and described above. Accordingly,  
it is intended by the appended claims to cover all  
10 modifications of the invention which fall within the true spirit and scope of the invention.



OFGS File: P/3483-13

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Hongyang Chao, et al.

Date: November 30, 2000

Serial No.:

Filed:

For: IMAGE COMPRESSION AND DECOMPRESSION BASED ON AN  
INTEGER WAVELET TRANSFORM USING A LIFTING SCHEME AND A  
CORRECTION METHOD (As Amended)

---

Asst. Commissioner of Patents and Trademarks  
Washington, DC 20231

REQUEST FOR CONTINUING APPLICATION UNDER 37 C.F.R. 1.53(b)

Sir:

This is a request for the filing of a Divisional application under the provisions of 37 C.F.R. 1.53(b) of pending application Serial No. 09/038,562, filed March 11, 1998 which claimed priority of Provisional Application No. 60/040,241, filed March 11, 1997 (now abandoned), by HONGYANG CHAO, HOWARD P. FISHER, PAUL S. FISHER, and ZEYI HUA entitled SYSTEM AND METHOD FOR IMAGE COMPRESSION AND DECOMPRESSION. The prior application is hereby incorporated by reference.

Enclosed is a copy of the prior application, including the oath or declaration as originally filed.

I hereby state that the attached papers are a copy of prior application Serial No. 09/038,562, filed March 11, 1998, without any new matter therein.

Cancel in this application original claims 1-21 of the prior application before calculating the filing fee.

The filing fee is calculated as follows:

BASIC Filing Fee: .....\$ 710.00

Number of Claims in Excess of 20: \_\_\_ x \$18 .....

Number of Independent Claims over 3: \_\_\_ x \$80 ....

One or more multiple dependent claims: \$260.....\$\_\_\_\_\_

TOTAL FILING FEE: .....\$\_\_\_\_\_

OR:

TOTAL FILING FEE REDUCED 50% FOR SMALL ENTITY .....\$355.00

Small Entity Status has been established in parent application Serial No.  
09/038,562, filed March 11, 1998.

Check No. 2329 which includes the amount of \$355.00 in payment of the filing  
fee is enclosed herewith.

The Patent and Trademark Office is hereby authorized to charge any additional  
fees or credit any refund, at any time during the prosecution of this application, to Deposit  
Account No. 15-0700.

Amend the specification by inserting at page 1, line 2, the paragraph:

--This is a divisional of application Serial No. 09/038,562, filed March 11, 1998.--

This application includes 6 sheets of drawings containing Figures 1 through 13.

Priority under 35 U.S.C. §119 based on United States Provisional Application  
Serial No. 60/040,241, filed March 11, 1997, is claimed.

The prior application was assigned to Computer and Information Sciences, Inc.  
and is recorded at Reel 9466, Frame 0466. An assignment to Vianet Technologies, Inc. was  
submitted for recordation on November 28, 2000. A copy of said assignment is enclosed  
herewith.

The power of attorney in the prior application, as originally filed, was to Fitch, Even, Tabin & Flannery. The power of attorney in the prior application was then given to customer No. 2352, OSTROLENK, FABER, GERB & SOFFEN, LLP, 1180 Avenue of the Americas, New York, New York 10036-8403, and the members of the firm: Reg. No. 17,542; Samuel H. Weiner, Reg. No. 18,510; Jerome M. Berliner, Reg. No. 18,653; Robert C. Faber, Reg. No. 24,322; Edward A. Meilman, Reg. No. 24,735; Stanley H. Lieberstein, Reg. No. 22,400; Steven I. Weisburd, Reg. No. 27,409; Max Moskowitz, Reg. No. 30,576; Stephen A. Soffen, Reg. No. 31,063; James A. Finder, Reg. No. 30,173; William O. Gray, III, Reg. No. 30,944; Louis C. Dujmich, Reg. No. 30,625, and Douglas A. Miro, Reg. No. 31,643, as attorneys with full power of substitution and revocation to prosecute this application, to transact all business in the Patent and Trademark Office in connection therewith and to receive all correspondence. The Power appears in the original papers in the prior application.

SEND CORRESPONDENCE TO:

DIRECT TELEPHONE CALLS TO:

OSTROLENK, FABER, GERB & SOFFEN, LLP

1180 Avenue of the Americas

New York, New York 10036-8403

Customer No. 2352

(212) 382-0700

EXPRESS MAIL CERTIFICATE

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL010286223US) in an envelope addressed to: Asst. Commissioner of Patents and Trademarks, Washington, D.C. 20231, on November 30, 2000:

DOROTHY JENKINS

Name of Person Mailing Correspondence

*Dorothy Jenkins*

Signature

November 30, 2000

Date of Signature

*Brendan J. Kennedy*  
Brendan J. Kennedy  
Registration No.: 41,890  
OSTROLENK, FABER, GERB & SOFFEN, LLP  
1180 Avenue of the Americas  
New York, New York 10036-8403  
Telephone: (212) 382-0700

DM/BJK:gl



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POST OFFICE TO ADDRESSEE

Mailing Label  
Label 11-7 July 1997

<b>ORIGIN (POSTAL USE ONLY)</b> Day of Delivery: <input type="checkbox"/> First <input type="checkbox"/> Second Mo. Day Year: <input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM Time In: <input type="checkbox"/> AM <input type="checkbox"/> PM Weight: <input type="checkbox"/> 1st Day <input type="checkbox"/> 2nd Day No Delivery: <input type="checkbox"/> No Delivery <input type="checkbox"/> Holiday Weight: <input type="checkbox"/> 1st Day <input type="checkbox"/> 2nd Day No Delivery: <input type="checkbox"/> No Delivery <input type="checkbox"/> Holiday		<b>DELIVERY (POSTAL USE ONLY)</b> Delivery Attempt: <input type="checkbox"/> AM <input type="checkbox"/> PM Mo. Day Year: <input type="checkbox"/> AM <input type="checkbox"/> PM Time: <input type="checkbox"/> AM <input type="checkbox"/> PM Signature of Addressee or Agent: _____ Signature of Employee: _____ Signature of Employee: _____ Signature of Employee: _____	
<b>CUSTOMER USE ONLY</b> Method of Payment: <input type="checkbox"/> Express Mail <input type="checkbox"/> Registered Mail <input type="checkbox"/> Insured Mail <input type="checkbox"/> Signature Required Signature of Addressee or Agent: _____ Signature of Employee: _____ Signature of Employee: _____ Signature of Employee: _____		<b>WAIVER OF SIGNATURE (Domestic Only):</b> Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery. <input type="checkbox"/> NO DELIVERY <input type="checkbox"/> Signature of Addressee or Agent <input type="checkbox"/> Signature of Employee <input type="checkbox"/> Signature of Employee	
<b>FROM: (PLEASE PRINT)</b> US TRULER FABLE 1180 AVENUE OF THE AMERICAS NEW YORK NY 10036-8603 PHONE: ( ) - - 3483-13-BJK		<b>TO: (PLEASE PRINT)</b> HUN. COMMISSIONER OF PATENTS & TRADEMARKS WASHINGTON DC 20231-9999 PHONE: ( ) - - APPLN. BRANCH	



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PRESS HARD. You are making 3 copies.

Serial No. 3483-13-BJK Filing Date PL3483-13  
 Title IMAGE COMPRESSION & DECOMPRESSION... ETC.  
 First Inventor H. CHAO  
 The PTO has received: ☒ Patent Application of RULE 53(b)  
☐ Declaration or ☐ Designation Sheet  
☒ Drawings 6 Sheet(s)/Figs. 1 to 13  
☐ Priority Document  
☐ Small Entity Declaration  
☐ Assignment & Conveyance Cover Sheet  
☐ Information Disclosure Statement  
☐ PTO-1449  
☐ Amendment  
☐ Affidavit or Declaration  
PEES FORM  
☒ Check No 2329 for \$ 355  
 Att/Secy BJK/xc

Date \_\_\_\_\_ Last Due Date: \_\_\_\_\_  
☐ TM Application ☐ ITU Basis  
☐ Statement of Use  
☐ Extension of Time  
☐ Notice of Appeal  
☐ Brief  
☐ Petition  
☐ Status Request  
☐ Issue Fee  
☐ Certificate of Mailing  
 Express Mail No. EL010286223US  
 PTO STAMP

1029622

# INVENTOR INFORMATION

Inventor One Given Name:: Hongyang  
Family Name:: Chao  
Postal Address Line One:: 1011 Chestnut #10  
City:: Denton  
State or Province:: Texas  
Postal or Zip Code:: 76201  
Citizenship Country:: China  
Inventor Two Given Name:: Howard P  
Family Name:: Fisher  
Postal Address Line One:: 3106 Saints Circle  
City:: Denton  
State or Province:: Texas  
Postal or Zip Code:: 76201  
Citizenship Country:: United States  
Inventor Three Given Name:: Paul S  
Family Name:: Fisher  
Postal Address Line One:: 34 Timbergreen Circle  
City:: Denton  
State or Province:: Texas  
Postal or Zip Code:: 76205  
Citizenship Country:: United States  
Inventor Four Given Name:: Zeyi  
Family Name:: Hua  
Postal Address Line One:: 2197 S. Uecker \$537  
City:: Denton  
State or Province:: Texas  
Postal or Zip Code:: 76201  
Citizenship Country:: China

## CORRESPONDENCE INFORMATION

Correspondence Customer Number:: 000002352  
Electronic Mail One:: email@ostrolenk.com

## APPLICATION INFORMATION

Title Line One:: IMAGE COMPRESSION AND DECOMPRESSION BAS  
Title Line Two:: ED ON AN INTEGER WAVELET TRANSFORM USING  
Title Line Three:: A LIFTING SCHEME AND A CORRECTION METHO  
Title Line Four:: D  
Total Drawing Sheets:: 6  
Formal Drawings?: Yes  
Application Type:: Utility  
Docket Number:: P/3483-13  
Secrecy Order in Parent Appl.?: No

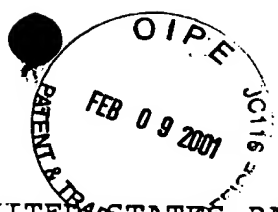
## CONTINUITY INFORMATION



This application is a:: DIVISION OF  
> Application One:: 09/038,562  
Filing Date:: 03-11-1998

Which is a:: NON PROV. OF PROVISIONAL  
>> Application Two:: 60/040,241  
Filing Date:: 03-11-1997

Source:: PrintEFS Version 1.0.1



PATENT APPLICATION

Attorney Docket No. 63345

Date: 06/05/98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Hongyang Chao, et al.  
Appln No.: 09/038,562  
Filed: 03/11/98  
For: System and Method for Image  
Compression and Decompression

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on this date.

6/5/98

Date

Registration No. 30,698  
Attorney for Applicant(s)

RESPONSE TO NOTICE TO FILE MISSING PARTS

Box MISSING PARTS

Commissioner of Patents and Trademarks  
ATTENTION: Assistant Commissioner for Patents  
Washington, D.C. 20231

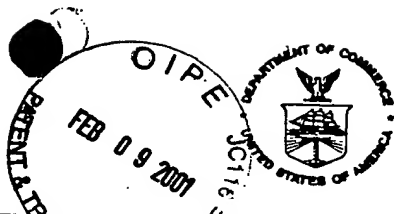
Sir:

In response to the Notice to File Missing Parts dated 04/20/98, enclosed are:

- (X) A copy of the Notice to File Missing Parts.
- (X) An executed Declaration for Patent Application, including Power of Attorney.
- (X) Assignment(s) of the invention to Computer and Information Sciences, Inc., and Recordation Form Cover Sheet - Patents Only - Form PTO-1595.
- (X) A check in the amount of \$40.00 to cover the fee for recording the assignment(s).
- (X) Fee Calculation:

Fee Calculation For Claims As Filed-Nonprovisional Applications

(a) Basic Fee (nonprovisional application)	\$790.00	\$ 790.00
(b) Independent Claims <u>9</u> - 3 = <u>6</u>	x \$ 82.00 =	\$ 492.00
(c) Total Claims <u>32</u> - 20 = <u>12</u>	x \$ 22.00 =	\$ 264.00
(c) Fee for Multiply Dependent Claims	\$270.00	\$
(e) Surcharge under 37 C.F.R. §1.16(e) (nonprovisional application)	\$130.00	\$ 130.00
Total Filing and/or Surcharge Fee		\$1,676.00



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/038,562	02/11/98	CHAO	H 6,845

0242/0420  
FITCH EVEN MARTIN & FLANNERY  
135 SOUTH LA SALLE STREET SUITE 200  
CHICAGO IL 60603-4277

NOT ASSIGNED

2/21

DATE MAILED:

04/20/98

### NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 4176.

- ☒ 1. The statutory basic filing fee is:
- ☒ missing.
  - ☐ insufficient.
- Applicant must submit \$ 4790 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- ☐ 2. Additional claim fees of \$ \_\_\_\_\_, including any multiple dependent claim fees, are required:
- \$ 482 for 6 independent claims over 3.
  - \$ 246 for 12 dependent claims over 20.
  - \$ \_\_\_\_\_ for multiple dependent claim surcharge.
- Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:
- ☒ is missing or unexecuted.
  - ☐ does not cover the newly submitted items.
  - ☐ does not identify the application to which it applies.
  - ☐ does not include the city and state or foreign country of applicant's residence.
- An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.
- A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
  - ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
  - ☐ 8. The application does not comply with the Sequence Rules.
- See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."
- ☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the reply.

Customer Service Center  
Initial Patent Examination Division (703) 308-1202